

9-30-96

MEMORANDUM FOR ALL DEPARTMENTAL ELEMENTS

FROM: ARCHER L. DURHAM
 ASSISTANT SECRETARY FOR
 HUMAN RESOURCES AND ADMINISTRATION

SUBJECT: DOE O 200.1, INFORMATION MANAGEMENT PROGRAM

The attached subject Order, developed by the Office of Chief Information Officer, is being issued for simultaneous implementation and coordination. Comments are being solicited for a 45-day period beginning with the effective date of the Order. This Order has been previously reviewed by the Information Management Community, Secretarial Officers and Field Managers.

The new Corporate Order consolidates 18 DOE Orders, eliminates redundancy, and improves the quality and usability of the policies and requirements associated with the Department's various information management functions.

Additional details for the coordination of this Order will be sent directly to the Directives Points of Contact for each organization.

Attachments

**NOTE: THIS PAGE MUST BE KEPT WITH DOE O 200.1, INFORMATION
MANAGEMENT PROGRAM**

U.S. Department of Energy
Washington, D.C.

ORDER

DOE O 200.1

Approved: 9-30-96
Sunset Review: 9-30-98
Expires: 9-30-00

SUBJECT: INFORMATION MANAGEMENT PROGRAM

1. **OBJECTIVES.** It is the policy of the Department of Energy to:
 - a. Ensure Departmental missions and goals, information, information resources, and information technology investment decisions will be made based on programmatic need, using performance-based measures tied to the budget, using sound business practices, and complying with applicable laws and regulations.
 - b. Treat information, information resources, and information technology as corporate assets integrated with programmatic planning and budgeting.
 - c. Provide a framework for managing information, information resources, and information technology investment, which supports the operating elements of the Department in the accomplishment of its missions and functions in both an efficient and effective manner and in accordance with Departmental policy.
2. **CANCELLATION.** The following actions are effective this date for the Orders identified below. Cancellation of an Order does not, by itself, modify or otherwise affect any contractual obligation to comply with such an Order. Canceled Orders that are incorporated by reference in a contract shall remain in effect until the contract is modified to delete the reference to the requirements in the canceled Orders.
 - a. The following Orders are canceled immediately:
 - (1) 1324.5B Records Management Program dated 1-12-95
 - (2) 5900.1A Energy Information Collection, Analysis and Dissemination dated 5-18-92
 - b. The following Orders are redesignated as Guides:
 - (1) 1130.8A Data Integrity Board dated 5-18-92
 - (2) 1330.1D Computer Software Management dated 5-18-92
 - (3) 1410.2 Mail Management dated 4-29-85

DISTRIBUTION:
All Departmental Elements

INITIATED BY:
Chief Information Officer

- (4) 1450.3A Call Control/Verification Programs and Authorized Use of Government Telephone Systems dated 9-12-91
- (5) 1700.1 Freedom of Information Program dated 11-19-79
- (6) 1800.1A Privacy Act dated 8-31-84
- (7) 5300.1C Telecommunications dated 6-12-92

c. The following Orders are to be converted to Manuals and, upon implementation of the applicable Manual, canceled:

- (1) 1331.1D Procurement and Assistance Data System dated 5-18-92
- (2) 1340.1B Management of Public Communications Publications and Scientific, Technical, and Engineering Publications dated 1-7-93
- (3) 1350.1 Audiovisual and Exhibits Management dated 10-28-91
- (4) 1360.2B Unclassified Computer Security Program dated 5-18-92
- (5) 1450.4 Consensual Listening-In to or Recording Telephone/Radio Conversations dated 11-12-92
- (6) 5300.2D Telecommunications: Emission Security (Tempest) dated 5-18-92
- (7) 5300.3D Telecommunications: Communications Security dated 8-3-93
- (8) 5300.4D Telecommunications: Protected Distribution Systems dated 3-4-94
- (9) 5650.2B Identification of Classified Information dated 12-31-91

3. **APPLICABILITY.**

- a. DOE Elements. Except for exclusions in paragraph 3c, this Order applies to all DOE Elements.
- b. DOE Contractors. Except for the exclusions in paragraph 3c, Contractor Requirements Document (CRD) (Attachment I), sets forth the requirements that are to be applied to the universe of contractors and subcontractors awarded contracts for the operation and management of DOE-owned or DOE-leased facilities. Contractor compliance with the CRD will be required to the extent set forth in a contract. Contractors shall be directed to continue to comply with the requirements of Orders canceled by this Order until their contracts are modified to delete the reference to the requirements of the canceled Orders.
- c. Exclusions: Activities that are regulated through a license by the Nuclear Regulatory Commission (NRC) or a state under an agreement with the NRC,

including activities certified by the NRC under section 1701 of the Atomic Energy Act [same as section 830.2(a)].

4. REQUIREMENTS.

- a. Information, information resources, and information technologies shall be managed in a manner that supports the strategic and operational plans of the Department.
- b. Information management activities shall be established, maintained, and managed in a manner that addresses Departmental policy and implements appropriate laws and regulations as specified in Attachment II, References.

5. RESPONSIBILITIES.

- a. Chief Information Officer (CIO) is responsible for implementing Federal policy contained in the Information Technology Management Reform Act (ITMRA) of 1996 and Paperwork Reduction Reauthorization Act of 1995. The CIO:
 - (1) provides advice and other assistance to the Secretary of Energy and other senior management personnel of the Department to ensure that information technology is acquired and information resources are managed for the Department consistent with the policies and procedures of the ITMRA;
 - (2) develops, maintains, and facilitates implementation of a sound and integrated information technology architecture for the Department;
 - (3) promotes the effective and efficient design and operation of all major information resources management processes for the Department;
 - (4) partners with the Chief Financial Officer to ensure that the capital planning and investment process is integrated into the budget process; and
 - (5) establishes, implements, and maintains policies, procedures, manuals, and/or guidelines relative to the Department of Energy telecommunications security and unclassified computer security programs for all Departmental elements.
- b. Chief Financial Officer, as provided in the Chief Financial Officer's Act of 1990, is responsible for designing, developing, implementing, and maintaining all financial systems and the financial portions of mixed financial and nonfinancial systems. The Chief Financial Officer and the Chief Information Officer will work together to

ensure that the Department's information systems provide reliable, consistent, and timely program performance information.

- c. Assistant Secretary, Office of Congressional, Public, and Intergovernmental Affairs is the primary office responsible for establishing, maintaining, and managing the policies, standards, and procedures for:
 - (1) supporting effective management of Departmental public communications publications;
 - (2) disseminating public information;
 - (3) promoting effective use of information technology for public access to public information;
 - (4) promoting public affairs policy and planning; and
 - (5) managing audio visual and exhibits activities, including reporting audio visual activities for the "Federal Audio Visual Production Report" and coordinating of approvals for distribution of audio visual materials.
- d. Director, Office of Nonproliferation and National Security. The Office of Nonproliferation and National Security is the primary office responsible for establishing, implementing, and maintaining policies, procedures, manuals, and/or guidelines for:
 - (1) the classified computer security program in the Department;
 - (2) emergency operations records protection; and
 - (3) the management of the Department of Energy program to identify classified information, documents, or material.
- e. Director, Office of Scientific and Technical Information is the primary office responsible for establishing, maintaining, and managing scientific and technical information policy and guidance to ensure optimum availability of Departmental scientific and technical information to varied customer segments.
- f. Administrator, Energy Information Administration is the primary office responsible for the collection, analysis, and dissemination of energy and statistical information to support the needs of all Departmental elements. Also, the Energy Information Administration is responsible for establishing, implementing, and maintaining

policies, procedures, and guidance for information management activities in energy and statistical information.

g. Departmental Program Offices are responsible to:

- (1) budget for and establish information management capabilities to meet their programmatic mission requirements and ensure that their information technology investments and information resources are effectively managed throughout their life cycle and in a manner that supports the policies and objectives of this directive;
- (2) interpret and translate information management policies in the context of mission accomplishment;
- (3) implement business practices for the creation, collection, and use of information as a corporate resource and link decisions for information management investments, protection, operation, etc., of information and information resources to programmatic missions and Departmental objectives and goals; and
- (4) participate in the development, maintenance, and continuous improvement of information management business policies, corporate business systems, and processes institutionalized by Departmental functional organizations to achieve performance objectives, measures, and expectations.

h. Heads of Other Departmental Elements and Operations and Field Offices are responsible to:

- (1) promote the use of sound business practices in information management and information technology activities consistent with applicable laws and regulations;
- (2) ensure that the policy and objectives of this directive are incorporated into their program planning, management, contract administration, and performance evaluation activities; and
- (3) ensure that requirements and procedures detailed in the policies and manuals of this directive are implemented and that individual information systems under their cognizance are effectively managed throughout their life cycle.

- i. Executive Committee for Information Management. This committee is chaired by the Deputy Secretary of Energy and comprised of senior program and staff officers. The committee will focus attention on managing information as a corporate asset and its value to the Department. The Chief Information Officer will serve as the Executive Secretary to the committee as it focuses on directing the use and sharing of corporate information. The committee assures the Secretary that the Department's information management program and investments are based on mission-oriented performance measures and that sound business practices are being used, consistent with applicable laws and regulations.
- j. Departmental Representative to the Committee for Computing, Information, and Communications Research and Development of the National Science and Technology Council :
 - (1) provides the Secretary and Deputy Secretary policy and programmatic advice and assessments on scientific computing, information, and communications;
 - (2) coordinates the development and submission of any required cross cut budget information with the Chief Financial Officer, the Chief Information Officer, and with other Departmental elements participating in the Committee for Computing, Information, and Communications activities;
 - (3) coordinates scientific computing, communications, and information technology research and development activities across the Departmental elements that participate in the Committee for Computing, Information, and Communications activities; and
 - (4) coordinates the assignment of Departmental representatives to subcommittees and other working groups of the Committee for Computing, Information, and Communications, as appropriate.
- k. Information Management Council. Senior managers from the Program Offices, Operations Offices, and other Departmental Elements will serve on the Departmental Information Management Council. The Council will provide institutional and technical support for such things as: addressing implementation issues for Departmental corporate business systems and implementation issues, coordinating the assessment of administrative information systems integration or consolidation opportunities, endorsing new initiatives, and staffing actions for the Executive Committee for Information Management.
- l. Chief Historian. The Chief Historian:

- (1) determines that records of historic value have been scheduled for permanent retention by reviewing for Headquarters only all Records Transfer Forms (HQ F 1324.8) and other forms used for the transfer of records from office space to low-cost storage;
 - (2) recommends to Headquarters and field organization officials that records of historical value be scheduled for permanent retention;
 - (3) accepts custody of records of historical value no longer requiring retention by the originating office and services all requests for access to these records until they are offered to the National Archives;
 - (4) provides advice concerning appropriate disposition of personal papers; and
 - (5) assists Headquarters and field organizations in determining the historical value of records.
- m. Contracting Officers. Contracting Officers will ensure that the appropriate information management policies, manuals and other directives, and mission-specific information management requirements are clearly transmitted to their respective contractors under the terms of their contracts or in the mission-specific scope of work projects provided within the budgeting process.
6. **REFERENCES.** References are contained in Attachment II, REFERENCES.
7. **DEFINITIONS.** Definitions used throughout this Order can be found in the Department of Energy Glossary.
8. **CONTACT.** Questions regarding this Order should be addressed to the Chief Information Officer at (202) 586-0166.

BY ORDER OF THE SECRETARY OF ENERGY:



ARCHER L. DURHAM
Assistant Secretary for
Human Resources and Administration

CONTRACTOR REQUIREMENTS DOCUMENT

Under the terms of their contract, contractors shall perform the following.

1. Manage information management activities in accordance with applicable laws, regulations, and Departmental policy and manuals as identified in their contract, including any additional explicit Departmental information management requirements transmitted by the responsible Contracting Officer.
2. Employ sound business practices for information management to achieve performance objectives identified in their contract.
3. Conduct funded programmatic information management activities in accordance with the work scope (including any specific-mission oriented performance measures) agreed to with Program Offices or customers.

REFERENCES

1. Title 5, United States Code 552, The Freedom of Information Act (Public Law 89-487), as amended, which establishes the right of citizens to request information from Federal Agencies and establishes a framework of procedures to implement this right.
2. Title 5, United States Code 552a, Privacy Act of 1974, (Public Law 93-549), as amended, which establishes requirements for the collection, maintenance, and dissemination of personal information by Federal Agencies.
3. Title 17, United States Code Copyright Law.
4. Title 18, United States Code, Chapter 101, which provides penalties for the unlawful concealment, removal, or mutilation of records.
5. Title 31, United States Code 1348, which permits Federal Agencies to pay charges for long distance telephone calls, if required for official business and sworn to by the Agency head.
6. Title 36, Code of Federal Regulations, Chapter 12, which sets forth policies and procedures concerning the creation, collection, use, documentation, dissemination, and disposition of records maintained by Federal Agencies and The National Archives and Records Administration.
7. Title 44, United States Code, Chapters 21, 29, 31, and 33, which specifies the functions and responsibilities for managing Federal records and the procedures that must be followed to obtain approval for their disposition.
8. Public Law 83-703, The Atomic Energy Act of 1954, as amended.
9. Public Law 73-416, Communications Act of 1934, as amended, which provides for the regulation of interstate and foreign communication by wire or radio and for other purposes; in particular, section 305(a), which establishes Presidential statutory authority to authorize operations of radio stations belonging to, or operated by, the Federal Government; and section 606, which establishes the war emergency telecommunications powers of the President.
10. Public Law 100-235, Computer Security Act of 1987, which provides for a computer standards program within the National Institute of Standards and Technology (NIST) to provide for Governmentwide security and training in security matters of persons who are involved in the management, operation, and use of Federal computer systems and for other purposes.

11. Public Law 102-561, the Software Copyright Protection Act.
12. Public Law 104-13, The Paperwork Reduction Reauthorization Act of 1995, as amended, and its predecessor, Public Law 96-511, The Paperwork Reduction Act of 1980, which establishes a broad mandate for Federal Agencies to perform information activities in an efficient, effective, and economical manner, and specifically recognizes the General Services Administration's role in the acquisition and management of computing resources.
13. Public Law 104-106, the Information Technology Management Reform Act (ITMRA) of 1996.
14. Executive Order 12046, Relating to the Transfer of Telecommunications Functions, dated 3-27-78, which delegates the Presidential responsibilities for management of the electromagnetic spectrum to the Secretary of Commerce and provides for the continuation of the Interdepartmental Radio Advisory Committee to assist the Secretary in the exercising of the delegated Presidential authority, Federal Register, 43, No. 61, of 3-29-78.
15. Executive Order 12472, Assignment of National Security and Emergency Preparedness Telecommunications Functions, dated 4-3-84, which provides for the essential national security emergency preparedness telecommunications needs of the Federal Government and provides guidance to state and local governments and private organizations in an all- hazards environment.
16. Executive Order 12656, Assignment of Emergency Preparedness Responsibilities, dated 11-18-88 (as amended), which assigns national security emergency preparedness responsibilities to Federal Departments and Agencies.
17. Executive Order 12958, Classified National Security Information, dated 4-20-95, which prescribes a uniform system for classifying, safeguarding, and declassifying national security information.
18. Executive Order 13011, Federal Information Technology, dated 7-16-96.
19. National Security Directive 42 dated 7-5-90, which establishes initial objectives, policies, and organizational structure to guide the conduct of activities to secure national security systems from exploitation.
20. National Security Decision Directive Number 47, Emergency Mobilization Preparedness, dated 7-22-82, which directs emergency communications planning and establishes the requirement for programs that assure transition from normal to emergency operations.

21. National Security Decision Directive Number 97 (unclassified version), National Security Telecommunications Policy, dated 8-3-83, which establishes the policy for integrating all of the Nation's telecommunications resources essential to national survival.
22. Office of Management and Budget Circular A-130, as amended, Management of Federal Information Resources, dated 7-15-94, which establishes policy for the management of Federal information resources.
23. Federal Information Resources Management Regulation, 41 Code of Federal Regulations, Chapter 201, which establishes, publishes, and codifies uniform policies and procedures pertaining to information resources management activities by Federal Agencies.